

06/25/01
U.S.
PTO

06/26/01

A
307
July 11
PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box →

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. OCR-754.CIP

First Inventor James Anderson

Title Human Occludin...

Express Mail Label No. E15272277375US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1 Fee Transmittal Form (e.g., PTO/SB/17) (2 pgs)
(Submit an original and a duplicate for fee processing)2 Applicant claims small entity status.
See 37 CFR 1.27.3. Specification [Total Pages 38] (preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4 Drawing(s) (35 U.S.C. 113) [Total Sheets 14]

5. Oath or Declaration [Total Pages]

a. Newly executed (original or copy) (2 pgs)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)i. **DELETION OF INVENTOR(S)**Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).6 Application Data Sheet. See 37 CFR 1.76**ADDRESS TO:**
Assistant Commissioner for Patents
Box Patent Application
Washington, DC 202317. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)a. Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. CD-ROM or CD-R (2 copies); orii. paper (7 pgs)c. Statements verifying identity of above copiesJC986 U.S. PTO
09/891064
06/25/01**ACCOMPANYING APPLICATION PARTS**9. Assignment Papers (cover sheet & document(s))10. 37 CFR 3.73(b) Statement Power of
(when there is an assignee) Attorney11. English Translation Document (if applicable)12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS
Citations13. Preliminary Amendment14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No. 09 142,732

Prior application information:

Examiner P. Nolan

Group / Art Unit: 1644

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS Customer Number or Bar Code Labelor Correspondence address below

Name	26850	Mary M. Krinsky	
Address	PATENT TRADEMARK OFFICE 79 Trumbull Street		
City	New Haven	State	CT
Country	U.S.A.	Telephone	203-773-9544
Fax	203-773-1183		

Name (Print/Type)	Mary M. Krinsky	Registration No. (Attorney/Agent)	32423
Signature	Mary M. Krinsky		
		Date	25 June 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 355.00)

Complete if Known

Application Number	CIP of 09/142,732
Filing Date	June 25, 2001
First Named Inventor	J. Anderson
Examiner Name	P. Nolan
Group Art Unit	1644
Attorney Docket No.	OCR-754

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 25-0110

Deposit Account Name Yale University

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

 Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
101	690	201	345	Utility filing fee	355.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 355.00)

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	[] -20** = [] X [] = []		
Independent Claims	[] -3** = [] X [] = []		
Multiple Dependent	[]	= []	

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependent claim, if not paid	
109	78	209	39	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

3. ADDITIONAL FEES

Large Entity	Fee Code (\$)	Fee (\$)	Small Entity	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for ex parte reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Extension for reply within first month	
116	380	216	190			Extension for reply within second month	
117	870	217	435			Extension for reply within third month	
118	1,360	218	680			Extension for reply within fourth month	
128	1,850	228	925			Extension for reply within fifth month	
119	300	219	150			Notice of Appeal	
120	300	220	150			Filing a brief in support of an appeal	
121	260	221	130			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,210	241	605			Petition to revive - unintentional	
142	1,210	242	605			Utility issue fee (or reissue)	
143	430	243	215			Design issue fee	
144	580	244	290			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Petitions related to provisional applications	
126	240	126	240			Submission of Information Disclosure Stmt	
581	40	581	40			Recording each patent assignment per property (times number of properties)	
146	690	246	345			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	690	249	345			For each additional invention to be examined (37 CFR § 1.129(b))	
179	690	279	345			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	

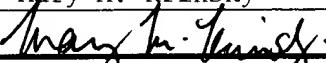
Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Mary M. Krinsky	Registration No. (Attorney/Agent)	32423	Telephone	203-773-9544
Signature				Date	6/25/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.